

## Electronic Acknowledgement Receipt

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|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| <b>EFS ID:</b>                              | 2213463                                                                                                            |
| <b>Application Number:</b>                  | 09900485                                                                                                           |
| <b>International Application Number:</b>    |                                                                                                                    |
| <b>Confirmation Number:</b>                 | 4159                                                                                                               |
| <b>Title of Invention:</b>                  | Automated, user specific tax analysis of investment transactions using a personal tax profile                      |
| <b>First Named Inventor/Applicant Name:</b> | Rod A. Cherkas                                                                                                     |
| <b>Correspondence Address:</b>              | Robert P. Lord<br>OSHA - LIANG LLP<br>Suite 2800<br>1221 Mckinney Street<br>Houston TX 77010<br>US 7032288778<br>- |
| <b>Filer:</b>                               | Rober Lord/Jaime Malley                                                                                            |
| <b>Filer Authorized By:</b>                 | Rober Lord                                                                                                         |
| <b>Attorney Docket Number:</b>              | 37202/102001; 990006                                                                                               |
| <b>Receipt Date:</b>                        | 19-SEP-2007                                                                                                        |
| <b>Filing Date:</b>                         | 06-JUL-2001                                                                                                        |
| <b>Time Stamp:</b>                          | 16:57:46                                                                                                           |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)                                                                                        |

### Payment information:

|                        |    |
|------------------------|----|
| Submitted with Payment | no |
|------------------------|----|

### File Listing:

| Document Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Document Description | File Name                     | File Size(Bytes) /Message Digest                     | Multi Part/.zip | Pages (if appl.) |  |  |  |  |
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| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                      | 37202_102001_response_001.pdf | 367724<br>610be7e6ce689a71552e01ed3aa88e<br>af626048 | yes             | 13               |  |  |  |  |
| <b>Multipart Description/PDF files in .zip description</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                      |                               |                                                      |                 |                  |  |  |  |  |
| <b>Document Description</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                      | <b>Start</b>                  |                                                      | <b>End</b>      |                  |  |  |  |  |
| Amendment - After Non-Final Rejection                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                      | 1                             |                                                      | 2               |                  |  |  |  |  |
| Claims                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                      | 3                             |                                                      | 8               |                  |  |  |  |  |
| Applicant Arguments/Remarks Made in an Amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      | 9                             |                                                      | 13              |                  |  |  |  |  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                      |                               |                                                      |                 |                  |  |  |  |  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                      |                               |                                                      |                 |                  |  |  |  |  |
| <b>Total Files Size (in bytes):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                      |                               |                                                      | 367724          |                  |  |  |  |  |
| <p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b>New Applications Under 35 U.S.C. 111</b><br/> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b>National Stage of an International Application under 35 U.S.C. 371</b><br/> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b>New International Application Filed with the USPTO as a Receiving Office</b><br/> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p> |                      |                               |                                                      |                 |                  |  |  |  |  |